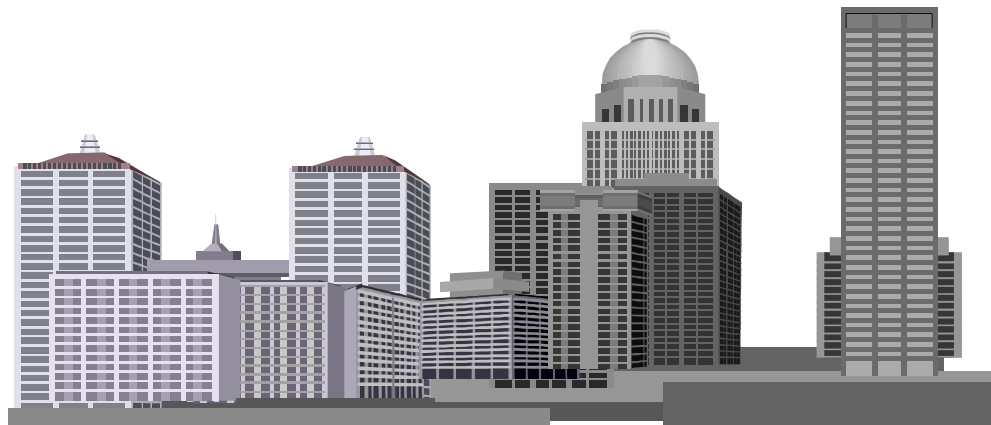


Metro Archives Newsletter



Mar-Apr, 2011

Employee Theft of Business Information on Rise

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RECORDS TRAINING

- Ever wonder exactly what your legal obligations are to maintain records you work with every day? ...And, what could happen if you don't?
- Do you know what a retention schedule is? How to read one? How they are developed?
- How do you pack boxes for long-term (or short term) storage? Why does it matter?

April 21, 2011 ~ 9–11am

Metro University

SIGN UP TODAY!

Forensics experts at Deloitte in New Zealand report a steady rise in cases of employees stealing confidential business information and taking it to competing firms. According to a January 23 online article in *The New Zealand Herald*, factors that account for the increase include:

- The ease with which key information can be downloaded to portable devices such as USB sticks or uploaded to social networking sites
- The economic downturn, which has led to disgruntled employees helping themselves to information for their own advantage or to get back at a former employer

The most common theft scenario is an employee taking client information to a new company, which many people don't see as a crime, Deloitte forensics partner Barry Foster said. Forensics technology expert Barry Foster recounted for the article two examples of employee theft.

In one case, a salesman at a technology company had told other staff he would take clients with him when he left. He made good on that threat by waiting until the secretary left the office without logging off her computer and e-mailed himself a copy of the database from her computer. From his own PC, he then e-mailed the file outside of the company and copied it to a USB

stick. After the secretary spotted the sent e-mail and alerted her boss, the company got an injunction against the man, and he was forced to return the data.

In another case, several code developers at an Internet-based company who didn't think they were being recognized adequately decided to leave with "their" code. When a new member of the development team tipped off the chief executive, Deloitte was called in to secure and preserve the code while the team was away.

According to the *Herald* article, even though Deloitte discovered the developers had "destroyed data, wiped code libraries and written a backdoor code to allow them remote access," which were criminal offenses, the firm did not prosecute.

The article said that companies are concerned about reputation, so most cases of information theft are kept secret. Companies are also usually more interested in resolving the situation than spending time on prosecution.

The article also referred to the University of Otago Security Research Group's "2010 New Zealand Computer Crime and Security Survey," which found that more than 50% of companies had no USB incident protection in place. The survey of 176 computer security practitioners

in a large variety of sectors also revealed that a quarter had no mobile device security tools or procedures – despite the fact that the survey respondents reported 63 incidents of mobile devices being lost or stolen in 2009. More than three-quarters revoked access and recovered keys when an employee left, but less than half changed passwords or preserved logs.

Although the Deloitte report and the Otago University survey were both focused on New Zealand companies, organizations in other countries should take steps to protect themselves from incidents such as these. Such steps should include:

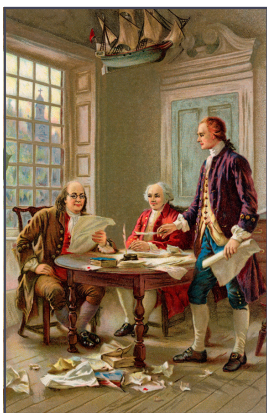
- Ensuring that the information management policies define what data belongs to the organization and what (if anything) an individual is entitled to upon separation
- Using technology to monitor large downloads of data and to ensure such downloads are authorized
- Developing employee exit procedures that ensure access is revoked immediately upon departure

Diane Carlisle, CRM writing for ARMA International

Founding Father's Papers Headed for Internet

At the National Archives, we often note that we have 10 billion pieces of paper in our holdings, containing the history of our nation from its beginnings in the Revolutionary period up to present.

Now, we know that we don't have all the documents that tell the story of our democracy.



That's why we are active in ensuring that historical documents not in our holdings are also preserved and made easily available to everyone.

We do this through our grant-making arm, the National Historical Publications and Records Commission

(NHPRC). Since NHPRC began making grants in 1964, it has given \$200 million to 4,800 projects in all 50 states and special jurisdictions.

They include such projects as digitizing the records at the University of Florida related to the exploration of the Everglades; making available the Walter Cronkite papers, the Vietnam Veterans Archives, and World War I and World War II Soldiers' Collections at the Center for American history at the University of Texas; publishing the papers of Abraham Lincoln, Eleanor Roosevelt and Martin Luther King, Jr.; and developing an electronic records archives for the State of Hawaii (You can learn more at www.archives.gov/nhprc.)

Perhaps the most prominent and the most ambitious of the projects we have funded is the publication of the papers of our Founding Fathers.

This undertaking has involved tracking down,

preserving, transcribing, and providing access to the papers of six Founding Fathers: John Adams, Benjamin Franklin, Alexander Hamilton, Thomas Jefferson, James Madison and George Washington. The scope is enormous. It includes their writings from childhood through the Revolutionary period and until their deaths. And it includes letters written to them as well.

Many of the papers are held in private hands, with historical associations, or in state or local libraries or archives. Some are held by the National Archives and the Library of Congress.

The task of pulling together all their papers, which includes letters to each other as well as the Federalist Papers, began in the 1950s at several universities and historical societies.

Now, the entire undertaking is about two-thirds complete and is moving into a new phase. In the last regular appropriations legislation for the National Archives, Congress directed us to find ways to make the Founding Fathers' Papers more readily available to historians, scholars, and the public. The lawmakers also set aside funds in the NHPRC's budget specifically for this project.

To that end, the NHPRC recently entered into a cooperative agreement with the University of Virginia (UVA) Press and its Rotunda imprint to put the published documents online.

Working from the print editions of the founders' papers that have been published so far, the UVA Press will develop a fully searchable database of the papers for free access by the general public through a website hosted by the National Archives.

A prototype website will be launched by September 2011 that will include 154 volumes drawn from four print editions, including document transcriptions and editors' annotations and introductory essays, with approximately 70,000 documents and almost 125,000 explanatory

notes. By 2013, all of the existing documents and notes in the 242 printed volumes of the founders will be online.

This project is a prime example of the major impact that the NHPRC has on the enrichment of the history of our country, for it has provided funding for the papers projects for all six founders.

The Papers of John Adams, for example, were heavily mined by historian David McCullough in writing his 2002 Pulitzer Prize-winning biography John Adams, which later became an Emmy-winning series on PBS.

Historian Joseph Ellis used some of the papers of the founders for his 2001 Pulitzer Prize-winning book, *Founding Brothers: The Revolutionary Generation*. Ron Chernow used the Papers of Alexander Hamilton in writing his landmark biography, *Alexander Hamilton*, and he researched the Papers of George Washington of his recently published biography of our first president.

For these authors and countless others, the founders' papers have provided a much richer and fuller record of the intellectual debates among the founders as they led and inspired efforts to win our independence and structure the government for a young democracy. There are many more histories that have benefitted from the papers of these Founding Fathers and other publishing projects on the Founding era supported by MHPRC, and many more will benefit in the future from the results of this project.

At a time when the Constitution and the intents of the Founding Fathers are often debated, this project will produce an invaluable resource for those interested in how our nation was created.*

Article written by: David S. Ferriero, Archivist of the United States
Reprinted from: Archival Outlook (SAA Publication) Nov/Dec 2010 Edition



Records Management & Archives in the News

Kennedy White House Recordings Released

The John F. Kennedy Presidential Library and Museum declassified and made available for research presidential recordings of two meetings between President Kennedy and Senators Mike Mansfield, Everett Dirksen, and Henry "Scoop" Jackson. The subject of these meetings was the upcoming senate debate

and vote on the Limited Nuclear Test Ban Treaty.

Federal Web 2.0 Use Study

A Report on Federal Web 2.0 Use and Record Value explores how federal agencies are using Web 2.0 tools to create and share information. Tools examined include internal and external blogs, wikis,

social networking, and other collaborative Web-based technologies. The study concludes that records created should continue to be appraised based upon business, evidential, informational, and contextual values. Visit www.archives.gov/recordsmgmt/resources/web2.0-use.pdf.

Archival Outlook, Nov/Dec 2010 (SAA)

Records Management Industry Watch Survey Results Available

The new AIIM Records Management Industry Watch survey is now available.

Overall, our findings show that in most organizations, electronic records are still taken less seriously than paper records. Responsibility for applying good records management practice to electronic records would seem to reside in the IT Department rather than in the Records Department, and even where good policies exist, they are often not monitored or enforced. Having said that, an encouraging number of organizations are homogenizing their electronic and physical policies and practices, and many are moving to an all-electronic model, linking their repositories together in order to improve the legal discovery process and enhance operational efficiency.

Key Findings

- The volume of paper records is still increasing steadily in 56% of organizations, but in 22% it is at last showing signs of decreasing. Meanwhile the volume of electronic records is "increasing rapidly" for 70%, and unsurprisingly, is not decreasing for any.
- Half of organizations are scanning newly received paper items and filing them electronically rather than manually, and a third of businesses are looking to go to all-electronic records-keeping.
- But for the other half, as well as manually filing inbound paper documents, 40% admit to routinely printing newly generated office documents and emails for the purpose of filing them as paper records.
- Electronic records are more than twice as likely to be described as "Unmanaged" than paper records.
- 71% of organizations have a procedure for legal hold of paper records in the event of litigation, but only 57% have one for electronic records.
- For 25% of organizations, legal discovery of paper records would take at least a month, whereas for electronic records this is 17%.
- There is a reliance on IT staff to carry out legal discovery on electronic records in the majority of companies, whereas records management staff or line-of-business staff deal with paper records.
- 13% of organizations are using dedicated e-discovery tools and a further 22% are planning to do so. 42% are utilizing their ECM/ERM suites for e-discovery and 12% are using Enterprise Search.
- Of those organizations with no ECM/ERM system, 60% would not be confident, if challenged, that their electronic records have not been changed, deleted or inappropriately accessed.
- 38% of those polled admit that there is little or no enforcement of their records management policies and 55% set no guidance on dealing with important emails as records.
- 31% of organizations have 20 or more content repositories that could usefully be linked, with email as the highest priority content.
- 35% are using in-house developed links to join up repositories and a further 28% are using vendor custom-developed links. CMIS (Content Management Interoperability Services specification) has gained traction in just 15% of organizations as yet.
- Half of organizations would "possibly" store records in a local, identifiable outsource, but 77% state they would never use a public cloud (e.g., Google, Amazon or Microsoft) even if they were assured of an onshore storage location. However, 67% would consider a corporate or government cloud.
- Two thirds of organizations store a significant proportion of their records in native formats such as Word and Excel, although a third plan to converge to PDF-A over the next 3 years.
- Over 70% of organizations have made no plans or provision for long-term archiving of electronic records, with no policies for migrating to new media, translating formats, or virtualization of applications.
- Spending on Records Management systems and modules is expected to be up overall in the next 12 months. Consultancy Services show a slight net fall.

Association for Information and Image Management (AIIM) website

Data Helping Healthcare Providers

The intelligent use of data is driving major changes to health care. From patient treatment, to the government's role in regulation and reimbursement, there are many factors pushing for and through the suggested modifications.

"Large healthcare organizations already use business intelligence and analytics tools as a standard part of their financial and administration processes – to streamline billing, manage financial performance, allocate staff and equipment, better manage patients as they move through the organization, and uncover reve-

nue opportunities," according to *Information Week*. "They're also starting to use these tools to improve their insight into the effectiveness of patient treatments and to move toward the quality healthcare objectives and pay-for-performance metrics that are becoming an integral part of federal funding and reimbursement."

"Healthcare industry BI [business intelligence] was a \$600 million market in 2009, and it will grow faster than any other BI vertical industry in the next five years," said IDC Analyst Dan Vesset. "Increased focus on financial performance management, labor

productivity, cost control, and analysis of billing, payments, bed occupancy rates, and patient treatment will drive that growth."

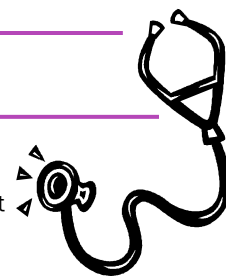
In particular, Vesset foresees a 10% annual growth in applications that use BI and analytics to manage patient interactions.

It is anticipated that BI and analytics will have an increased impact on clinical decision making. Doctors and other healthcare providers will have the ability to analyze treatments based on several factors, including who

facilitated the treatments, what options were chosen, and where they were given. In addition, they will also be able to look at budgets and personnel and determine how those items affected patient outcomes and recoveries.

For more information: <http://www.informationweek.com/story/showArticle.jhtml?articleID=228300166>

ARMA International ; Washington Policy Brief, December 2010



The First United States Census; 1790

Authorizing Legislation

The first census began more than a year after the inauguration of President Washington and shortly before the second session of the first Congress ended. Congress assigned responsibility for the 1790 census to the marshals of the U.S. judicial districts under an act which, with minor modifications and extensions, governed census taking through 1840. The law required that every household be visited, that completed census schedules be posted in "two of the most public places within [each jurisdiction], there to remain for the inspection of all concerned..." and that

"the aggregate amount of each description of persons" for every district be transmitted to the president.

Enumeration

The six inquiries in 1790 called for the name of the head of the family and the number of persons in each household of the following descriptions:

- Free White males of 16 years and upward (to assess the country's industrial and military potential)
- Free White males under 16 years

- Free White females
- All other free persons
- Slaves

Under the general direction of Thomas Jefferson, the Secretary of State, marshals took the census in the original 13 States, plus the districts of Kentucky, Maine, and Vermont, and the Southwest Territory (Tennessee). Both George Washington and Thomas Jefferson expressed skepticism over the final count, expecting a number that exceeded the 3.9 million inhabitants counted in the census.

U.S. Census Bureau



A Guide to Interpreting Kentucky's Census Records

The first United States census was undertaken by the federal government in 1790 in order to determine the size of the population, as well as some basic distinctions regarding the sex, age, and race. Congress appointed federal marshals in each judicial district the responsibility of carrying out and tallying the census. They, in turn, appointed assistant marshals, also called enumerators to travel about the countryside and gather information.

Organized Chaos

In earlier census records, there were no standardized forms, set ways to tally the information or ways to ensure that census results were an accurate interpretation of the area. Americans during the Colonial times viewed enumeration as an unwarranted intrusion of the government into their private lives. Some avoided enumerators for fear of having their taxes raised; others on religious grounds. Those in the hills of Eastern Kentucky avoided enumerators for fear that "Revenuers" were out to compile lists of those involved in moonshining.

Local political pressure, too, skewed census results. Frequently enumerators were bribed into "padding the totes," adding fictitious or dead persons to the census rolls, in order to prove a population large enough for a territory to be granted statehood or county status. Other times, they were conned into believing that the district's borders did not include certain areas, to keep the population numbers - and consequently the taxation - low, causing under-reporting.

During the 1870 census, seven out of every hundred persons were not in-

cluded on the census rolls; in 1880, twelve out of every hundred were omitted. To complicate matters, many residents were not consistent with the information they provided. After the creation of Kenton County in 1840, some property owners claimed residency in either Boone or Kenton year after year, selecting whichever county with the lowest tax rate at the time.

Needless to say, this made an enumerator's job -and makes a researchers job- a challenge.

Kentucky as Part of the Census

In 1790, Kentucky had not yet been granted statehood; instead, it was included as a county in the first census of Virginia. Unfortunately, the Federal census schedules of 1790 and 1800 were destroyed during the British attack on Washington during the War of 1812.

During the early 1900's, Congress directed that certain information be compiled in effort to reconstruct the 1790 census. This was accomplished by using tax lists as a substitute for the census data. In this same fashion, the Union Veteran's Schedule was used to replace the Kentucky section of the 1890 census which was also destroyed by fire at the Commerce Building in Washington D.C.

Satisfaction Guaranteed?

Enumerators were instructed to gather information from households, whether from the head of the household or whoever could or would provide it. This meant that information could have been, and often was, provided by a child living in the household or even a neighbor.

When having difficulty researching census records, always consider alternatives, such as alternative spellings of a name and possible mix ups involving relationships. In pioneer Kentucky, very few settlers could read or write; many not even able to spell or recognize their own names. Enumerators would have to rely upon their own phonetic spellings that, especially for European names, were often inaccurate.

Many times the age of a person was unknown, or was based on what someone else had told them. If a child was very big or small for her age, non-relatives might have incorrectly guessed her age.

Since the columns on the census forms were narrow, enumerators used abbreviations as codes for answers. In most cases, the abbreviations came from a standard spelled out somewhere on the census form.



Once enumerators completed their task, the handwritten schedules were posted in two of the "most public places" to ensure accuracy. Sometimes a schedule would be rewritten several times - often to put heads of household in alphabetical order, then to provide copies for posting. The possibility for error or misreading increased each time the census information was rewritten.

Excerpted from:
Kentucky Department for Libraries and
Archives website

<http://www.kdla.ky.gov/resources/censusr ecords.htm>

Upcoming Events...

March 2011

Sun	Mon	Tue	Wed	Thu	Fri	Sat
		1	2	3	4	5
6	7	 Mardi Gras	9	10	11	12
13	14	15	16	 St Patrick's Day	18	19
20	21	22	23	24	25	26
27	28	29	30	31		



April 2011

Sun	Mon	Tue	Wed	Thu	Fri	Sat
					1 April Fools Day	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19 Passover Begins	20	21 RIM Training	22 Good Friday	23
 Easter	25	26	27	28	29	30

Please contact the Metro Archives Staff at (502) 574-2554 for details and/or additional information about any scheduled event/s.